

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Jian FAN

Serial No.: Herewith

Examiner: N/A

Filing Date: 11-9-2000

Group Art Unit: N/A

Title: METHODS AND APPARATUS FOR ANALYZING AN IMAGE

JC918 U.S. PRO  
09/709685  
11/09/00

COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- (X) under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ( ) under 37 CFR 1.97(c) together with either a:  
( ) Statement under 37 CFR 1.97(e), or  
( ) a \$240.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ( ) under 37 CFR 1.97 (d) together with a:  
( ) Statement under 37 CFR 1.97(e), and  
( ) a petition under 37 CFR 1.97(d)(2), and  
( ) a \$130.00 petition fee set forth in 37 CFR 1.17(i).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge to Deposit Account 08-2025 the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25.

(X) Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

( ) A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. EL 709987259US

Date of Deposit 11-9-2000

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioned for Patents, Washington, D.C. 20231.

By James A. Henricks

Typed Name: James A. Henricks

Respectfully submitted,

Jian FAN

By James A. Henricks  
James A. Henricks

Attorney/Agent for Applicant(s)  
Reg. No. 31,168

Date: 11-9-2000

## PATENT APPLICATION

Sheet 1 of 2

|   |  |                  |   |
|---|--|------------------|---|
| FORM PTO-1449   |  | ATTY. DOCKET NO. | SERIAL NO.  |
|   |  | 10002599-1       |   |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT |  | APPLICANT        |  |
| (Use several sheets if necessary)   |  | Jian FAN         | JC918 U.S. PTO<br>09/709685<br>11/09/00   |
|   |  | FILING DATE      | GROUP   |
|   |  | 11-9-2000        | N/A   |

## REFERENCE DESIGNATION      U.S. PATENT DOCUMENTS

| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS |
|------------------|----|-----------------|------|------|-------|-----------|
|                  | 1A |                 |      |      |       |           |
|                  | 1B |                 |      |      |       |           |
|                  | 1C |                 |      |      |       |           |
|                  | 1D |                 |      |      |       |           |
|                  | 1E |                 |      |      |       |           |
|                  | 1F |                 |      |      |       |           |
|                  | 1G |                 |      |      |       |           |
|                  | 1H |                 |      |      |       |           |
|                  | 1I |                 |      |      |       |           |
|                  | 1J |                 |      |      |       |           |
|                  | 1K |                 |      |      |       |           |

## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | TRANSLATION |
|--|----|-----------------|------|------|-------|-----------|-------------|
|  |    |                 |      |      |       |           | YES         |
|  | 1L |                 |      |      |       |           |             |
|  | 1M |                 |      |      |       |           |             |
|  | 1N |                 |      |      |       |           |             |
|  | 1O |                 |      |      |       |           |             |
|  | 1P |                 |      |      |       |           |             |

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

|    |  |
|----|--|
| 1Q | K. W. Yong, R. G. Casey and F. M. Wahl, Document Analysis System; IBM J. Res. Develop., Vol. 26, No. 6, pp 647-656, November 1982. |
| 1R | J. Kittler and J. Illingworth, Minimum Error Thresholding; Pattern Recognition, Vol. 19, No. 1, pp 41-47, 1986.                    |
| 1S | Rafael C. Gonzalez and Paul Wintz, Digital Image Processing; Addison-Wesley Publishing Company, pp 30-33, Second Edition, 1987.    |

EXAMINER

DATE CONSIDERED

## PATENT APPLICATION

Sheet 2 of 2

|   |  |   |                     |
|---|--|---|---------------------|
| FORM PTO-1449   |  | ATTY. DOCKET NO.<br><b>10002599-1</b>   | SERIAL NO.          |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT |  | APPLICANT<br><b>Jian FAN</b>            |                     |
| (Use several sheets if necessary)   |  | FILING DATE<br><b>11-9-2000</b>         | GROUP<br><b>N/A</b> |
|   |  | J-918 U.S. PTO<br>09/709685<br>11/09/00 |                     |

## REFERENCE DESIGNATION      U.S. PATENT DOCUMENTS

| EXAMINER INITIAL |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS |
|------------------|----|-----------------|------|------|-------|-----------|
|                  | 2A |                 |      |      |       |           |
|                  | 2B |                 |      |      |       |           |
|                  | 2C |                 |      |      |       |           |
|                  | 2D |                 |      |      |       |           |
|                  | 2E |                 |      |      |       |           |
|                  | 2F |                 |      |      |       |           |
|                  | 2G |                 |      |      |       |           |
|                  | 2H |                 |      |      |       |           |
|                  | 2I |                 |      |      |       |           |
|                  | 2J |                 |      |      |       |           |
|                  | 2K |                 |      |      |       |           |

## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | TRANSLATION |
|--|----|-----------------|------|------|-------|-----------|-------------|
|  |    |                 |      |      |       |           | YES         |
|  | 2L |                 |      |      |       |           |             |
|  | 2M |                 |      |      |       |           |             |
|  | 2N |                 |      |      |       |           |             |
|  | 2O |                 |      |      |       |           |             |
|  | 2P |                 |      |      |       |           |             |

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

|  |    |  |
|--|----|--|
|  | 2Q | Berthold Klaus Paul Horn, Robot Vision; The MIT Press, pp 69-71, 1986. |
|  | 2R |  |
|  | 2S |  |

EXAMINER

DATE CONSIDERED